

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Donald A. Phillips, of 1120 Cornell Drive, Davis, CA 95616; Cecillia M. Joseph, of 1408 Locust Place, Davis, CA 95616; James R. Sanborn, of 46 Yuba River Circle, Sacramento, CA 95831; Guo-Ping Yang, of 1615 East Eighth Street Davis, California 95616, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: Novel Enhancers of Plant Growth

Date(s) of execution of Declaration:

Filing Date: November 17, 1999 (International filing date for
PCT/US99/27318)

Application No.: 09/831,958

WHEREAS, The Regents of the University of California, a University of the state of California, located at Office of Technology Transfer, 1111 Franklin Street, 5th Floor, Oakland, CA, 94607-5200, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8th Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: October 2, 2001

Donald A. Phillips
Donald A. Phillips

SIGNATURE WITNESSED BY:

(1) Date: 10-2-1

Anna S. [Signature]
Signature of Witness 1

(2) Date: 10-2-1

[Signature]
Signature of Witness 2

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: 10-3-01

Cecilia M. Joseph
Cecilia M. Joseph

SIGNATURE WITNESSED BY:

(1) Date: 10-3-01

[Signature]
Signature of Witness 1

(2) Date: 10-3-1

Harvest D. [Signature]
Signature of Witness 2

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: October 10, 01

James R. Sanborn
James R. Sanborn

SIGNATURE WITNESSED BY:

(1) Date: October 10, 2001

Michael J. Harder
Signature of Witness 1

(2) Date: October 10, 2001

Edward C. Sanborn
Signature of Witness 2

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: _____

Guo-Ping Yang

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

(2) Date: _____

Signature of Witness 2

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: _____

James R. Sanborn

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

(2) Date: _____

Signature of Witness 2

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: Oct. 11. 2001

G. D. Yang
Guo Ping Yang

SIGNATURE WITNESSED BY:

(1) Date: Oct 11/01

[Signature]
Signature of Witness 1

(2) Date: Oct 11/01

[Signature]
Signature of Witness 2

Please type a plus sign (+) inside this box

PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted With Initial Filing
OR
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)

Attorney Docket Number

02307Z-09013

First Named Inventor

Phillips

COMPLETE IF KNOWN

Application Number

09/831,958

Filing Date

11/17/1999

Group Art Unit

unassigned

Examiner Name

unassigned

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL ENHANCERS OF PLANT GROWTH

N

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

11/17/1999

as United States Application Number or PCT International

Application Number 09/831,958 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
PCT/US99/27318	EPO	11/17/1999	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/01 (03-01)

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/> Customer Number or Bar Code Label		20350		OR <input type="checkbox"/> Correspondence address below	
Name					
Address					
City			State		ZIP
Country		Telephone			Fax
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>					
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
1-2 Donald A. <i>Donald A.</i> Given Name (first and middle [if any])		Phillips <i>Phillips</i> Family Name or Surname			
Inventor's Signature					Date <i>10-2-01</i>
Davis Residence: City		California State	United States of America Country		United States of America Citizenship
1120 Cornell Drive Mailing Address					
Davis City		California State	95616 ZIP	United States of America COUNTRY	
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
2-2 Cecillia M. Given Name (first and middle [if any])		Joseph Family Name or Surname			
Inventor's Signature					Date <i>10/3/01</i>
Davis Residence: City		California State	United States of America Country		United States of America Citizenship
1408 Locust Place Mailing Address					
Davis City		California State	95616 ZIP	United States of America COUNTRY	
<input checked="" type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.					

101501

PTO/SB/02A (10-00)

Please type a plus sign (+) inside this box ➡ +

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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page 1 of 1
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
James R.		Sanborn	
Inventor's Signature <i>James R. Sanborn</i> CA		Date 10/10/01	
Residence: City	State	Country	Citizenship
Sacramento	California	United States of America	United States of America
Mailing Address 46 Yuba River Circle			
Mailing Address			
City Sacramento	State California	ZIP 95831	Country United States of America
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Guo-Ping		Yang	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Davis	California	United States of America	China
Mailing Address 1615 East Eighth, Apartment #14			
Mailing Address			
City Davis	State California	ZIP 95616	Country United States of America
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	ZIP	Country

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SF 1270727 v1

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DECLARATION**ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 1 of 1**

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
James R.		Sanborn	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Sacramento	California	United States of America	United States of America
Mailing Address 46 Yuba River Circle			
Mailing Address			
City Sacramento	State California	ZIP 95831	Country United States of America
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Guo-Ping		Yang	
Inventor's Signature		Date	
G. P. Yang		Oct. 11, 2001	
Residence: City	State	Country	Citizenship
Davis	California	United States of America	China
Mailing Address 1615 East Eighth, Apartment #14			
Mailing Address			
City Davis	State California	ZIP 95616	Country United States of America
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	ZIP	Country

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PATENT

Attorney Docket No.: 02307Z-09013

UC Case No. 99-013-2

on 10/15/01

TOWNSEND and TOWNSEND and CREW LLP

By Alfredrick

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Phillips, *et al.*

Serial No.: 09/831,958

Filed: Novembr 17, 1999 (International filing
date for PCT/US99/27318)

For: NOVEL ENHANCERS OF PLANT
GROWTH

POWER OF ATTORNEY BY ASSIGNEE AND EXCLUSION OF INVENTOR(S) UNDER 37 CFR § 3.71

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints Kevin L. Bastian, Reg. No. 34,774; Matthew E. Hinsch, Reg. No. 47,651; M. Henry Heines, Reg. No. 28,219; Laurence J. Hyman, Reg. No. 35,551; Jean M. Lockyer, Reg. No. 44,879; Jeffry S. Mann, Reg. No. 42,837; Annette S. Parent, Reg. No. 42,058; William M. Smith, Reg. No. 30,223; Joseph R. Snyder, Reg. No. 39,381; Eugenia Garrett-Wackowski, Reg. No. 37,330; Ellen Lauver Weber, Reg. No. 32,762; Kenneth A. Weber, Reg.

No. 31,677; all of the firm of Townsend and Townsend and Crew LLP, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with 37 CFR § 3.71.

An assignment of the entire interest in the above-identified subject application:

☐ was recorded on _____ at reel/frame
_____/_____.

☒ is being concurrently submitted under separate cover to Attn: Box

Assignments for recording, a copy not for recordation is enclosed.

Please direct all telephone calls to Matthew E. Hinsch and all correspondence relative to said application to the following address:

Townsend and Townsend and Crew LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834

ASSIGNEE:

THE REGENTS OF THE
UNIVERSITY OF CALIFORNIA

Signature:

Typed Name:

Title:

Sinda S Stevenson

Linda' Stevenson

Prosecution Manager

Office of Technology Transfer
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

Dated: October 2, 2001